

RECORDS RETENTION SCHEDULE

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Submit three copies to: Department of General Services, California Records and Information Management, 707 Third St. 2nd Fl., W. Sacramento, CA 95605.

A CalRIM Consultant may be reached by phone at (916) 375-4404, by fax at (916) 375-4408 or by email at CalRIM@dgs.ca.gov

DEPARTMENT, BOARD OR COMMISSION Department of Health Care Services		(1) AGENCY BILLING CODE		(3) PAGE 1 OF 2 PAGES	
(4) DIVISION/ BRANCH/ SECTION Audits and Investigations (Sacramento and Fresno District Offices)		(5) ADDRESS 1500 Capitol Ave, MS 2201, Sacramento, Ca 95899-7413			
CHECK THE APPROPRIATE BOX					
(6) <input checked="" type="checkbox"/> New schedule of records that have never been scheduled. [Complete boxes (9) – (12)]					
(7) <input checked="" type="checkbox"/> Revising a previous schedule. [Complete boxes (13) – (16)] (A new approval number will be assigned.)					
(8) <input type="checkbox"/> Amending some pages of a previous schedule. [Complete boxes (13) – (16)] (The original approval number will remain in effect.)					
NEW SCHEDULE INFORMATION (If applicable)		(9) SCHEDULE NUMBER H07-24	(10) SCHEDULE DATE: 12/26/07	(11) NUMBER OF PAGES: 6	(12) CUBIC FEET (Total Schedule) 463 Cubic Feet.
PREVIOUS SCHEDULE INFORMATION (If applicable)		(13) SCHEDULE NUMBER ----- H98-014	(14) APPROVAL NUMBER ----- 1998-212	(15) APPROVAL DATE (S) -----	(16) PAGE NUMBER(S) REVISED
(17) MISSION/FUNCTIONAL STATEMENT: The mission of A & I is to ensure the fiscal integrity, efficiency and quality of the California Department of Health Care Services internal and external programs. As part of its mission, Audits and Investigations: Promotes sound management of public funds, Performs specific audits of CDHCS operations and medical and financial audits of Medi-Cal and public health providers, Conducts investigations of suspected violations of Medi-Cal laws and regulations aggressively recovers public funds spent inefficiently or illegally, Uses the insights gained Through audit and investigative activities to provide technical assistance to departmental programs and to external organizations working with CDHCS, has the lead responsibility for the CDHCS Medi-Cal Anti-Fraud program					
PART I – AGENCY STATEMENTS					
As the program manager (or person authorized to sign for the program manager) directly responsible for the records listed on this records retention schedule, I certify that all records listed are necessary and that each retention period is correct. For revisions, all items on the previous schedule are included or accounted for on the recapitulation. Vital records identified by this schedule are protected. If protection is not currently provided but plans are underway, the details of such plans are shown in Column 45, Remarks.					
(18) SIGNATURE - MANAGER RESPONSIBLE FOR THE RECORDS 		(19) TITLE: Section Chief – North		(20) PHONE NUMBER 916 650-6635	(21) DATE SIGNED December 28, 2007
In accordance with Government Code 14755, approval of this Records Retention Schedule by the Department of General Services is hereby requested. Retention periods shown have been established in accordance with the criteria set forth by Section 1667 of the State Administrative Manual.					
(22) SIGNATURE - RECORDS MGMT. ANALYST 		(23) CLASSIFICATION RMA	(24) NAME (Printed or Typed) Lynsie Liverett	(25) PHONE NUMBER 916 552-9155	(26) DATE SIGNED
PART II – DEPARTMENT OF GENERAL SERVICES APPROVAL (Per Government Code Section 14755)					
(27) SIGNATURE – CalRIM CONSULTANT 			(28) APPROVAL NUMBER 08-099	(29) DATE SIGNED 4/24/2008	(30) EXPIRATION DATE 4/24/2013
PART III – ARCHIVAL SELECTION (Per Government Code Section 14755)					
THE ATTACHED RECORDS RETENTION SCHEDULE:				FOR ARCHIVES' STAMP	
(31) <input checked="" type="checkbox"/> Contains no material subject to further review by the California State Archives					
(32) <input type="checkbox"/> Contains material subject to archival review. Items stamped "NOTIFY ARCHIVES" may not be destroyed without clearance by the California State Archives. (Per Section 1671 of the State Administrative Manual.)					
(33) SIGNATURE – CHIEF OF ARCHIVES OR DESIGNATED REPRESENTATIVE 			(34) DATE SIGNED May 5, 2008		

ITEM #	CUBIC FEET *	CA. STATE ARCHIVES USE ONLY	TITLE AND DESCRIPTION OF RECORDS (Double spaces between items)	MEDIA	VITAL	RETENTION				PRA (Exempt) & IPA (47)	REMARKS
						OFFICE	DEPT.	SRC	TOTAL		
(37)	(38)	(39)	(40)	(41)	(42)	(43)	(44)	(45)	(46)	(47)	(48)

ADMINISTRATIVE MANAGEMENT											
1	14		Personnel Records/ Attendance	P		Active +2			Active +2	XI	PRA/IPA. Active until employee transfers or leaves state service.
2	10		Supervisor Employee files	P		Active +2			Active +2	XI	PRA/IPA. Active until employee transfers or leaves state service.
3	11		Monthly production reports on Bene, Provider and other cases submitted to management	P		Active +2			Active +2		Active until management requests destruction
4	1		Travel Claims	P		Active +5			Active +5		
5	1		Expense Reports	P		Active +5			Active +5		
6	1		Purchase Reports (Records kept in case of discrepancy's and to show proof of order)	P		Active +2			Active +2		
7	1		Records Retention Schedule	P		Current Active +5			Current Active +5		Current 5 years or until revised.
8	10		Manuals (Investigators Manuals)	P		Current Active Current			Current Active Current		Current Active until revised
PROGRAM MANAGEMENT											
9	87.5		Open Full Field Cases (Cases contain evidence, reports, affidavits, billing printouts, criminal history and DMV printouts in relation to the investigation of Medi-Cal beneficiary and provider fraud.)	P		Active			Active	XI	PRA/IPA. Active until case closes.
10	127		Closed Full Field Cases (Case Files contain evidence, reports, affidavits, billing printouts, criminal history and DMV printouts in relation to the investigation of Medi-Cal)	P		Active +7			Active +7	XI	PRA/IPA. Retained in office due to appeals, prosecution actions, recovery efforts, referrals and lawsuits. Retention period may be extended.
11	54.5		Manuals (CLETS manuals, POST manuals, training manuals)	P		Current Active			Current Active		Current Active until revised
12	109		Evidence	P		Active +7			Active +7	XI	PRA/IPA. Same as item 10
13	18		Open POST Files (Peace Officers background files)	P		Active			Active	XI	PRA/IPA. Active until employee transfers or leaves state service.
14	18		Closed POST Files (Peace Officers background files)	P		Active			Active	XI	PRA/IPA. Confidential destruction after 3 years

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						OFFICE	DEPT.	SRC	TOTAL		
(37)	(38)	(39)	(40)	(41)	(42)	(43)	(44)	(45)	(46)	(47)	(48)

TOTAL CUBIC FEET	463										
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* Provide total of office and departmental

INSTRUCTIONS FOR FILLING OUT MS Word ELECTRONIC FORM

The California Records and Information Management (CalRIM) Program of the Department of General Services will review schedules for compliance with their Records Retention Handbook, Records Retention Schedule Guidelines and the records retention section of the California Acquisition Manual. The Chief of State Archives in the Office of the Secretary of State will review schedules for records series worthy of preservation for historical or research purposes. Titles, and descriptions of records listed on the schedule must be sufficiently detailed to insure understanding by persons unfamiliar with the business process of the department. For additional information concerning the scheduling of records refer to the aforementioned publications available on the DGS website (www.dgs.ca.gov).

* The attached form is formatted as a table; therefore, to add line items after page two, add additional rows to make formatting easier and consistent.

1. Department that the schedule belongs to.
2. Enter the appropriate billing code of the department.
3. Enter page numbers and total pages (e.g. 1 of 3, 2 of 3)
4. Division/ branch/ section within the department.
5. Address of the division/ branch/ section.
6. Double Click on the box if submitting a new schedule.
7. Double Click on the box if submitting a revision to previous schedule.
8. Double Click on the box if amending pages of a previous schedule.
9. Each department should establish its own system of numbering schedules. Enter the assigned number on each page.
10. Enter the date schedule was prepared.
11. Enter total number of pages of the schedule.
12. Enter the total number of cubic feet for all items scheduled (round off to nearest cubic foot).
13. If applicable, enter the schedule number from the previous schedule.
14. If applicable, enter the approval number assigned to the previous schedule.
15. If applicable, enter the CalRIM approval date shown in block 28 of the previous schedule on STD 73 Rev.6-02. (Block 22 if referring to STD 72 Rev. 2-96 on the previous schedule.
16. If applicable, enter the total number of pages included on the previous schedule.
17. Enter the mission/functional statement for the entity responsible for the records described on the schedule.
18. Signature of manager responsible for the records.
19. Manager's title.
20. Manager's phone number.
21. Date schedule signed by the manager.
22. Signature of the department's records management analyst (RMA).
23. Enter the official state classification of the department's RMA, i.e., Records Management Analyst I, Business Services Officer I, etc.
24. Name of the RMA.
25. RMA's phone number.
26. Date schedule is signed by the RMA.
27. Signature of CalRIM consultant.
28. Approval number assigned by CalRIM consultant.
29. Date schedule signed by CalRIM consultant.
30. This date is computed by adding five years to the date shown in Block 29.
31. This block is checked by the California State Archives if the schedule does not contain archive or long term reference records.
32. This block is checked by the California State Archives if the schedule contains material subject to archival review.
33. Signature of Chief of Archives or designated representative.
34. Date schedule is signed by Archives.
35. Enter the CalRIM Approval number shown in block 28.
36. Page numbers will automatically be entered in this field starting at page 2
37. Item numbers must be sequentially assigned beginning with number 1 on the second page of the schedule.

RECORDS RETENTION SCHEDULE

38. Enter cubic feet of records (office and departmental) contained in each item (round off to nearest cubic foot). Leave blank when scheduling electronic/magnetic records.
39. This column is used by the Chief of Archives to designate records which may be of historical value. If the notation "Notify Archives" appears in this column, the Secretary of State's Archive Unit must be notified before the records can be destroyed or transferred (SAM Section 1673.1).
40. Exact title of the records series must be entered in this column. The same title must also be used on the Records Transfer List, STD 71, if the records are later transferred to the State Records Center. **Do not delete** records for a discontinued program until all such records (including any stored at the Records Center) have been destroyed or ownership transferred to another entity. Acronyms must be spelled out in full the first time they are shown on the schedule.
41. Enter the appropriate storage media code for the series of records described; P-- paper (except for computer printouts); C -- computer printouts; M--magnetic or electronic (computer hard drives, computer tapes or disks, or word processing discs); D -- diazo microfilm or microfiche (working copies); S -- Silver halide microfilm; RM -- Removable Media consisting of ZIP, JAZ, etc.; CD -- Compact Disk, etc.; OD -- Optical Disk; RAID (redundant array of independent disks).
42. Enter an "X" if the series of records is considered vital (essential) to department operations. Vital records require special protection from loss through the use of vault storage, microfilm, CD, magnetic tape or similar storage media. Enter the method of protection used in Column 48 (Remarks).
43. Enter the length of time the records series will be retained in the office. For records such as active license files or active tax accounts, enter the word "Active" in this column. Then enter the length of time (if any) the records will be held in office space when they are no longer active. In these cases Column 48 must state the event which terminates the active life of the records. Intermediate terms (such as, "indefinite" or "continuous") must be avoided unless specifically stipulated by law or government code.

STATE OF CALIFORNIA – DEPARTMENT OF GENERAL SERVICES
STATE RECORDS PROGRAM

44. Records removed from office space and retained in less expensive space (such as a basement or other storage area) are considered to be department stored.
45. Records should be stored in the State Records Center when they meet the eligibility test of Section 1681 of the State Administrative Manual. The number of years records will remain in the Records Center must be entered in this column.
46. Enter the total number of years from Columns 43, 44, and 45. Include the active periods, if any.
47. PRA (Exempt) and IPA
 - a. Enter an "X" if the record is exempt from disclosure under the provisions of the Public Records Act. (Records so identified must show the authority for such exemption in Column 48.)
 - b. When the record is exempt from disclosure, but the data subject is allowed access under the provisions of the Information Practices Act, enter an "I".
48. Enter information which will explain or clarify treatment of the records, such as: citations from the Public Records Act (Government Code Section 6250 et seq.), Information Practices Act (Civil Code Section 1798 et seq.) or other State or federal statutes, the State Administrative Manual (SAM), California Acquisition Manual (CAM), State or Federal audit guidelines, Attorney General's instructions, or agency policy statements, etc. Other helpful information includes, but is not limited to:
 - a. Events that trigger purging, updating or transferring records, or that terminate active status.
 - b. Cross references to previous retention schedules under which material is stored at a records center, such as "See superseded Schedule 58, Item 166, Approval 88-200."
 - c. Type of destruction required when the records have reached the end of their retention period (such as, confidential witnessed destruction).
 - d. Authority that stipulates the retention period of a record series.
 - e. Authority that exempts disclosure of information to the public.

Prepare three copies of the schedule and forward all to the California Records and Information Management Program (CalRIM), 707 3rd Street, 2nd Floor, West Sacramento, California 95605, interagency mailing address is Z-1.

This form is provided in MS Word for your convenience. If the required fields or format are altered in any way, CalRIM will not accept the form.

**AUDITS AND INVESTIGATIONS
INVESTIGATIONS BRANCH
NORTH**

INVESTIGATIONS - NORTH	
Wayne Duguid	SFI-II
806-301-8066-002	

Trish Flanagan	MST	Patrick Klutz	Student Assistant
806-301-5278-702		806-301-4870-001	

SACRAMENTO - UNIT I	SACRAMENTO - UNIT II	SACRAMENTO - UNIT III	FRESNO	MEDI-CAL FRAUD PREVENTION - NORTH
Margaret Yates 806-301-8065-002	Mike Estrada 806-301-8065-004	Walt Witt 806-301-8065-005	Kevin Fite 806-304-8065-005	Ray Black 806-305-4027-001
<div> <div>Danice Harlan 806-301-8064-001</div> <div> <div>Vacant 806-301-8064-005</div> <div>Eff. 10-1-07 (B)</div> </div> <div>Tawyna Zuckschwert 806-301-8064-008</div> <div> <div>Lucianne Zanella 806-301-8064-035</div> <div> <div>Eduardo Chavez 806-301-8064-036</div> <div>(B)</div> </div> <div> <div>Gary Hansen 806-301-8064-037</div> <div> <div>Vacant 806-301-8064-042</div> <div>Eff. 10-31-07</div> </div> </div> </div> </div>	<div> <div>Chad Genzlinger 806-301-8064-003</div> <div> <div>Joe Anna Snowden 806-301-8064-019</div> <div> <div>Kristen Ungles 806-301-8064-043</div> <div> <div>William Tidball 806-301-8064-056</div> <div> <div>Imma Hanagan 806-301-8064-057</div> <div>(B)</div> </div> </div> <div> <div>Mary Quilla 806-301-8064-058</div> <div> <div>David Escalante 806-301-8064-059</div> </div> </div> </div> </div></div>	<div> <div>Robert Millberry 806-301-8064-004</div> <div> <div>Robert Vial 806-301-8064-016</div> <div> <div>Tamara Singleton 806-301-8064-040</div> <div> <div>Lynn Hamston 806-301-8064-041</div> <div> <div>Wendy Green 806-301-8064-044</div> <div> <div>Heinz Shaeffer 806-301-8064-052</div> <div> <div>Michael Agoff 806-301-8064-054</div> </div> </div> </div> </div> </div></div></div>	<div> <div>Terry Meek 806-304-8064-001</div> <div> <div>Joseph Armenta 806-304-8064-005</div> <div> <div>Christopher Petrush 806-304-8064-013</div> <div> <div>Alvino Levario 806-304-8064-018</div> <div>(B)</div> </div> <div> <div>Juan Amador 806-304-8064-033</div> <div>(B)</div> </div> <div> <div>Robert Beneux 806-304-8064-034</div> <div> <div>Helen Galicia 806-304-8064-035</div> <div> <div>Kathy Sexton 806-304-1139-701</div> <div>OT-T</div> </div> </div> </div> </div></div></div>	<div> <div>Christina Finlayson 806-305-4026-002</div> <div> <div>Barbara Pach 806-305-4026-003</div> </div> </div>
			BAKERSFIELD	
			<div> <div>Vacant</div> <div> <div>806-310-8064-001</div> <div>Eff. 9-1-07</div> </div> <div> <div>Jose Roman</div> <div> <div>806-310-8064-005</div> <div>(B)</div> </div> <div> <div>F. Vaughn Cain</div> <div> <div>806-310-8064-007</div> </div> </div> </div> </div>	

1500 Capitol Avenue, 6th Fl
Sacramento, CA 95814
1782 East Bullard Ave, 104
Fresno, CA 93710
1200 Discovery Plaza, Suite
160Bakersfield, CA 93309

B = Bilinugal

David Botelho
Deputy Director
December 1, 2007